Application Number		09801490		
Filing Date		2001-03-08		
First Named Inventor	Keith			
Art Unit		3693		
Examiner Name	D. Fe	iten		
Attorney Docket Numb	er	IVEN125530		

		Remove				
Examiner Cite Initial* Patent Number Kind Code1 Issue		Issue Date	Name of Patentee or Applicant of cited Document	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear		
	1	3702007	A	1972-10-31	Davis II	
	2	4346442	A	1982-08-24	Musmanno	
	3	4376978	A	1983-03-15	Musmanno	
	4	4456957	A	1984-06-26	Schieltz	
	5	4823265	A	1989-04-18	Nelson	
	6	5077665	A	1991-12-31	Silverman	
	7	5101353	A	1992-03-31	Lupien	
	8	5148365	A	1992-09-15	Dembo	

	Application Number		09801490	
	Filing Date		2001-03-08	
INFORMATION DISCLOSURE	First Named Inventor Keith		1	
(Not for submission under 37 CFR 1.99)	Art Unit		3693	
(Not for Submission ander or of it ison)	Examiner Name	ame D. Felten		
	Attorney Docket Numb	er	IVEN125530	

9	5253165	A	1993-10-12	Leiseca	
10	5297031	A	1994-03-22	Gutterman	
11	5297032	A	1994-03-22	Trojan	
12	5412804	A	1995-05-02	Krishna	
13	5453601	А	1995-09-26	Rosen	
14	5615269	А	1997-03-25	Mical	
15	5787402	A	1998-07-28	Potter	
16	5847845	A	1998-12-08	Takahashi	
17	5915245	A	1999-06-22	Patterson, Jr.	
18	5953707	А	1999-09-14	Huang	
19	5983200	А	1999-11-09	Siotznick	

20	6014643	A	2000-01-11	Minton	
21	6029146	A	2000-02-22	Hawkins	
22	6035289	A	2000-03-07	Chou	
23	6068117	A	2000-05-30	Koehn	
24	6101484	А	2000-08-08	Halbert	
25	6160204	А	2000-12-12	Steffens	
26	6236980	B1	2001-05-22	Reese	
27	6285989	B1	2001-09-04	Shoham	
28	6317727	B1	2001-11-13	May	
29	6317728	B1	2001-11-13	Kane	
30	6321212	B1	2001-11-20	Lange	

	Application Number Filing Date First Named Inventor Keith Art Unit Examiner Name D. Fel		09801490	
			2001-03-08	
			3693	
			iten	
			IVEN125520	

	31	6359633	B1	2002-03-19	Balasubramaniam	
	32	6408282	B1	2002-06-18	Buist	
	33	6421653	B1	2002-07-16	May	
	34	6505174	B1	2003-01-07	Keiser	
	35	6553346	B1	2003-04-22	Walker	
	36	6601044	B1	2003-07-29	Wallman	
	37	6625583	B1	2003-09-23	Silverman	
	38	6629082	B1	2004-09-30	Hambrecht	
	39	6792399	B1	2004-09-14	Phillips	
	40	7058601	B1	2006-06-06	Paiz	
If you wis	h to a	dd additional U.S. Paten			ease click the Add button.	Add Remove
			U.S.P	A I EN I APPLI	LATION PUBLICATIONS	INCITIONE

Application Number		09801490	
Filing Date		2001-03-08	
First Named Inventor	Keith		
Art Unit		3693	
Examiner Name	D. Fe	iten	
Attorney Docket Number		IVEN125530	

Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publication Date		Name of Pate of cited Docu	entee or Applicant ment	Relev		Lines where ges or Relev	
	1	20030014354	A1	2003-01	-16	Madoff					
	2	20030014379	A1	2003-01-16		Salas					
If you wisl	h to a	dd additional U.S. Publi	shed Ap					d butto	=		
				FOREIG	ON PAT	ENT DOCUM	ENTS		Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>			Kind Code <sup>4</sup>	Publication Date	Name of Patente Applicant of cited Document	e or	where Rel	or Relevant	Ts
	1										
If you wisl	h to ac	dd additional Foreign Pa	atent Do	cument	citation	information pl	ease click the Add	button	Add		
			NON	I-PATE	NT LITE	RATURE DO	CUMENTS		Remove		
Examiner Initials*	Cite No	Include name of the au (book, magazine, journ publisher, city and/or of	nal, seri	al, symp	osium,	catalog, etc), o					Ţ5
	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.									
	2	HULL J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Engiewood Clifts, N.J., 1995, pp. 4-6, 11.									
	3	LIVINGSTON, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.									

Application Number		09801490		
Filing Date		2001-03-08		
First Named Inventor	Keth			
Art Unit		3693		
Examiner Name	D. Felten			
Attorney Docket Number		IVEN125530		

	4	*More Companies Buying Back Stock,* The Salt Lake Tribune, April 9, 2000, <a href="http://proquest.umi.com/pqdweb?">http://proquest.umi.com/pqdweb?</a> indox=6&did=5201230&SrichMode=1&sid=21&Fmi=3>[retrieved November 3, 2005].					
	5	The Options Institute, "Options" Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420					
	6	*Streamer Free Real-Time Stock Quote Service Registers 12,000 Users,* PR Newswire, November 3, 1999, -http://www.findarticles.com/hn4PRN/1999_Nov_3/57153236/p1/article.jhtml= [retrieved April 5, 2004]					
If you wish to add additional non-patent literature document citation information please click the Add button Add							
EYAMINER SIGNATURE							

Date Considered Examiner Signature \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 See Kind Codes of USPTO Patent Documents at <a href="https://www.USPTO.GOV">www.USPTO.GOV</a> or MPEP 901,04. 2 Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). 3 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST 16 if possible. 5 Applicant is to place a check mark here if English language translation is attached

	Filing Date First Named Inventor Keith Art Unit Examiner Name D. Fel		09801490		
			2001-03-08		
			3693		
			iten		
			IVEN125530		

#### CERTIFICATION STATEMENT

Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

### OR

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 156(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 197(e)(c).

See attached certification statement.

Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.

Kevan L. Morgan

No.

Name/Print

#### SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Registration Number

42015

Signature /Kevan L. Morgan/ Date (YYYY-MM-DD) 2007-03-20	

This collection of information is required by 3T CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is for lie fand by the USPTO to process) an application. Confidentiality is governed by \$5 U.S. C. 12 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application from to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Operatment of Commence, P. O. Box 1450, Alexandri, V.S. 2213-1440. D. ON TO SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, V.S. 2213-1450.

### Privacy Act Statement

The Privacy Act of 1974 (P. L. 95-79) requires that you be given centain information in connection with your submission of the stacked form related to a penter application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is SU S. C. (2b)(2); (2) furnishing of the information solicided to is coluntary, and (3) the principal purpose for which the information is used by the U.S. Patent and Trademan XOTIEs is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested process and/or examine your submission related to a patent application or patent. If you do not furnish the requested requirement of the patent of the patent application or the patent of the patent patent applications or the patent patent applications or the patent pate

The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
  - A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
  - A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the suited matter of the record
  - A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S. C. 552(m).
  - A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or hisher designe, during an inspection of records conducted by GSA a part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 4d U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations be event inflicited; so
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 152(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitation of 37 CFR 1.14, as a routine use, to the public if the accord was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application pen to public inspections or an issued patent.
  - A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.